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| U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE<br>FORM PTO-1390<br>(REV. 1-2000)  |  | ATTORNEY'S DOCKET NUMBER<br><b>441/1/002</b><br>U.S. APPLICATION NO. IF KNOWN, SEE 37 CFR 1.5<br><b>097890483</b> |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371   |  |   |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/JP01/00130</b>   | INTERNATIONAL FILING DATE<br><b>January 12, 2001</b> | PRIORITY DATE CLAIMED<br><b>January 14, 2000</b>  |
| TITLE OF INVENTION<br><b>METHOD OF MANUFACTURING FERRULE</b>   |  |   |
| APPLICANT(S) FOR DO/EO/US<br><b>Shinichi OKAMOTO</b>   |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |
| <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li><input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> |  |   |
| Items 11 to 20 below concern document(s) or information included:  |  |   |
| <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input checked="" type="checkbox"/> A FIRST preliminary amendment.</li> <li><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li><input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li><input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li><input checked="" type="checkbox"/> Other items or information:             <ol style="list-style-type: none"> <li>a) Form PCT/RO/101; b) Form PCT/ISA/210;</li> <li>c) Application Data Sheet.</li> </ol> </li> </ol>   |  |   |

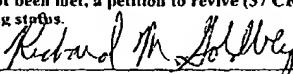
page 1 of 2

Certificate of Mailing By Express Mail Under 37 CFR 1.10Express Mail "Mailing Label No.": ET113695281USDate of Deposit : JULY 30, 2001

I hereby certify that this paper and/or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231 on JULY 30, 2001.

Richard M. Goldberg  
(Name of Registered Representative  
and person mailing)

Richard M. Goldberg July 30, 2001  
(Signature and Date)

|   |              |   |                                       |
|---|--------------|---|---------------------------------------|
| U.S. APPLICATION NO. (DO NOT USE FOR PCT)   |              | INTERNATIONAL APPLICATION NO<br>PCT/JPO/00130 | ATTORNEY'S DOCKET NUMBER<br>441/1/002 |
| <p><input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1000.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00</p> |              | CALCULATIONS PTO USE ONLY                     |                                       |
| <p><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p>   |              | \$ 860.00                                     |                                       |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA                                  | RATE                                  |
| Total claims  | 20 - 20 =    | 0   | x \$18.00 \$ 0                        |
| Independent claims  | 1 - 3 =      | 0   | x \$80.00 \$ 0                        |
| <b>MULTIPLE DEPENDENT CLAIM(S) (if applicable)</b>  |              | + \$270.00 \$ 0                               |                                       |
|   |              | <b>TOTAL OF ABOVE CALCULATIONS =</b>          |                                       |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              | + \$ 430.00                                   |                                       |
|   |              | <b>SUBTOTAL =</b>                             |                                       |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              | \$ 430.00                                     |                                       |
|   |              | <b>TOTAL NATIONAL FEE =</b>                   |                                       |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              | + \$ 40.00                                    |                                       |
|   |              | <b>TOTAL FEES ENCLOSED =</b>                  |                                       |
|   |              | Amount to be refunded:                        | \$                                    |
|   |              | charged:                                      | \$ 470.00                             |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>07-1524</u> in the amount of \$ <u>470.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>07-1524</u> A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>  |              |   |                                       |
| <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <p>SEND ALL CORRESPONDENCE TO:<br/> <b>Richard M. Goldberg</b><br/> <b>25 East Salem Street</b><br/> <b>Suite 419</b><br/> <b>Hackensack, New Jersey 07601</b></p>   |              |   |                                       |
| <br><u>Richard M. Goldberg</u><br>NAME<br><u>28,215</u><br>REGISTRATION NUMBER  |              |   |                                       |

JC20 Rec'd PCT/PTO 30 JUL 2001  
09/890483

**GOLDBERG PATENT LAW OFFICE**

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MEMBER NEW JERSEY AND  
NEW YORK BARS

July 30, 2001

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: New U.S. Patent Application  
Applicant : Shinichi OKAMOTO  
Title : METHOD OF MANUFACTURING FERRULE  
My File : 441/1/002

Certificate of Mailing By Express Mail Under 37 CFR 1.10

Express Mail "Mailing Label No.": ET113695281US  
Date of Deposit : JULY 30, 2001  
I hereby certify that this paper and/or fee is being deposited with the  
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service under 37 C.F.R. 1.10 on the date indicated above and is  
addressed to the ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C.  
20231 on JULY 30, 2001.

Richard M. Goldberg  
(Name of Registered Representative  
and person mailing)

*Richard M. Goldberg* JULY 30,  
2001  
(Signature and Date)

Dear Sirs:

Transmitted herewith for filing in the U.S. Patent and Trademark  
Office (entering the national phase in a PCT application  
(PCT/JP01/00130) 00/31574) is a new application including:

- a) Form PTO-1390 (in duplicate), with authorization to charge \$470.00 to Deposit Account No. 07-1524;
- b) Original filed Japanese language PCT application of fourteen (14) pages, with eight (8) claims, including eight sheets of drawings;
- c) English-language translation of original application;
- d) Eight (8) sheets of formal drawings;
- e) Application Data Sheet;

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JC18 Rec'd PCT/PTO 30 JUL 2001

Assistant Commissioner for Patents  
July 30, 2001  
Page 3

- f) Executed Declaration and Power of Attorney;
- g) Assignment and Recordation Form Cover Sheet;
- h) Form PCT/RO/101 - Request Form - in Japanese;
- i) Form PCT/ISA/210 - International Search Report performed by Japanese Patent Office and Annex thereto, in Japanese, and English-language translation thereof;
- j) Preliminary Amendment; and
- k) Information Disclosure Statement, one Form PTO-1449 and 3 references.

It is respectfully requested that the above-identified PCT application be granted a filing date within the July 14, 2002 convention term (30 months), based on PCT Application No. PCT/JP01/00130, filed January 12, 2001.

In the event that this Paper is late filed, and the necessary petition for extension of time is not filed concurrently herewith, please consider this as a Petition for the requisite extension of time, and to the extent not tendered by check attached hereto, authorization to charge the extension fee, or any other fee required in connection with this Paper, to Account No. 07-1524.

The Commissioner is authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1524.

Respectfully submitted,

  
Richard M. Goldberg  
Registration No. 28,215

RMG:mz  
enclosures

GOLDBERG PATENT LAW OFFICE